



CITY OF REDDING, CALIFORNIA
PERSONNEL POLICIES AND PROCEDURES

SUBJECT	EFFECTIVE DATE	PAGE
	2/10/22	1

Personnel Director

City Manager

Purpose

The purpose of this procedure is to minimize risk against compromise that could lead to misoperation or instability in the Bulk Electric System (BES) from individuals accessing BES Cyber Systems by requiring an appropriate level of personnel risk assessment in support of protecting BES Cyber Systems. This policy is intended to apply to the Redding Electric Utility only.

Policy

It is the policy of the City of Redding to comply with the current version of the North American Electric Reliability Corporation (NERC) Standard CIP-004 related to cyber security, which requires the implementation of a documented personnel risk assessment on prospective and existing employees to attain and retain authorized electronic access or authorized unescorted physical access to locations of medium impact BES Cyber Systems and associated Electronic Access Control or Monitoring Systems and Physical Access Control Systems.

Procedure

1. Prospective employees: Hiring department requests a Personnel Risk Assessment (PRA) and identity confirmation from the City of Redding's Personnel Department for employees.
2. Existing employees: REU will notify COR Personnel when a new PRA is required to ensure compliance with the seven (7) year threshold. COR Personnel will conduct the requested PRA in accordance with this Policy. If the PRA is unable to be completed prior to the 7-year expiration date, the affected personnel's access will be revoked prior to the 7-year limit.
3. Personnel confirms identity using a form of government issued identification and documents the verification on the PRA Results Form.
4. Personnel will submit a request for a LiveScan to the Redding Police Department to conduct a criminal history background check. The Redding Police Department (RPD) utilizes LiveScan to determine the subject's criminal history. The LiveScan provides results of the previous 10 years of criminal history, regardless of location within the United States.

For employees/applicants with residence history outside the United States during the preceding 7 years, Personnel will engage a third-party vendor to determine criminal history, as available, for each location that the employee/applicant lived or worked outside the United States for six consecutive months or more during the preceding 7 years.

NOTE: If it is not possible to perform a full seven-year criminal history records background check, Personnel will conduct as much of the seven-year criminal history records check as possible and document the reason the full seven-year criminal history records check could not be performed. For



CITY OF REDDING, CALIFORNIA
PERSONNEL POLICIES AND PROCEDURES

SUBJECT	EFFECTIVE DATE	PAGE
	2/10/22	2

example, it may not be possible to conduct a seven-year background check on a 20-year-old potential applicant as juvenile records are sealed by the courts.

5. Personnel will acquire results of the criminal history background check from the California Department of Justice.

6. Personnel will apply PRA acceptable risk criteria to conduct appearing on the results of the criminal history background check. The PRA acceptable risk criteria are:

- The nature and gravity of conduct;
- The amount of time that has passed since the conduct occurred; and
- The relevance of the conduct to the nature of the job held or sought

7. If the result of the criminal history background check indicates a low or no risk, Personnel will document the PRA completion date on the PRA Results Form and send the PRA Results Form confidentially to the Cyber Security Officer (CSO) and REU's Compliance Team. The candidate will then receive an offer letter, or the existing employee is retained.

8. If the result of the criminal history background check indicates a moderate to high risk, a committee will review the results to make a determination whether the risk is acceptable.

- If the review committee determines the risk is acceptable, Personnel will document the results on the PRA Results Form and send the PRA Results Form confidentially to REU's Compliance Manager. The candidate will then receive an offer letter, or the existing employee is retained.
- If the review committee determines the risk is unacceptable, the candidate or employee has failed to meet pre-employment or continued employment qualifications. Personnel will document the results on the PRA Results Form and send the PRA Results Form confidentially to REU's Compliance Manager. The candidate or employee will be afforded due process rights to appeal the PRA Results as set forth by law and/or the Redding Municipal Code, City of Redding policies and relevant MOU provisions.

9. If an employee commits a criminal offense after a LiveScan criminal background check is performed, the California Department of Justice will notify Personnel. Personnel will then follow steps 6, 7, and 8.